

PTO-1449	Application No. Unknown		Applicant(s) Thomas J. Daley et al.	
	Docket Number 069547.0174		Group Art Unit Unknown	Filing Date January 29, 2004
	Information Disclosure Citation In an Application			

U.S. PATENT DOCUMENTS

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
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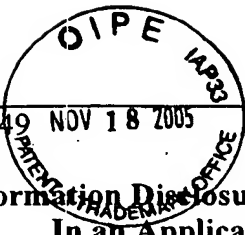
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	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
BKS/	N Patent Pending Application entitled, "System and Method for Routing a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0163, 64 pages including drawings	filing date January 29, 2004
	O Patent Pending Application entitled, "System and Method for Routing a Trading Order According to Price," by Thomas J. Daley et al., attorney docket no. 069547.0173, 72 pages including drawings	filing date January 29, 2004
	P Patent Pending Application entitled, "System and Method for Avoiding Transaction Costs Associated with Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0175, 65 pages including drawings	filing date January 29, 2004
BKS/	Q Patent Pending Application entitled, "System and Method for Matching Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0176, 74 pages including drawings	filing date January 29, 2004
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U.S. PATENT AND TRADEMARK OFFICE



PTO-1449 Information Disclosure Citation In an Application	Application No. 10/767,699	Applicant(s) Thomas J. Daley, et al.	
	Docket Number 069547.0174	Group Art Unit 3624	Filing Date January 29, 2004

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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
BKS/	A	2004/0210505 A1	10/21/2004	Pourhamid	705	37	04/17/2003
BKS/	B	2004/0236662 A1	11/25/2004	Korhammer, et al.	705	37	05/20/2003
BKS/	C	2005/0044031 A1	02/24/2005	Lebedev	705	37	08/21/2003
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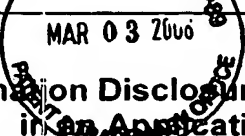
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
BKS/	P	Notification of Transmittal of the International Search Report for Application no. PCT/US05/03166; 4 pages.	11/04/2005
BKS/	Q	Written Opinion of the International Searching Authority for Application No. PCT/US05/03166; 5 pages.	11/04/2005
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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/BKS/	A	4,412,287	10/25/1983	Braddock, III	364	408	09/15/1982
	B	5,077,665	12/31/1991	Silverman, et al.	364	408	05/25/1989
	C	6,278,982 B1	08/21/2001	Korhammer, et al.	705	37	04/21/1999
	D	H 2064 H	05/06/2003	Buchalter	705	37	11/28/2000
	E	2002/0023037 A1	02/21/2002	White, Jr.	705	37	11/05/2001
/BKS/	F	2005/0171890 A1	08/04/2005	Daley, et al.	705	37	01/29/2004
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/BKS/	T	WO 00/11587 A1	03/02/2000	PCT	G06F	17/60	X	
/BKS/	U	WO 01/54037 A1	07/26/2001	PCT	G06F	17/60	X	
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NON-PATENT DOCUMENTS

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/BKS/		Notification of Transmittal of The International Search Report, International Application No. PCT/US05/03159, 4 pages.	02/24/2006
/BKS/		Written Opinion of the International Searching Authority, International Application No. PCT/US05/03159, 7 pages.	02/24/2006
/BKS/		How to Match Trades and Quotes for NYSE Stocks? Olivier Vergote and K.U. Leuven, Abstract, 21 pages.	03/2005

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/BKS/	A	2001/0042040 A1	11/15/2001	Keith	705	37	03/08/2001
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/BKS/	P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03164, 6 pages.	12/13/2006
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/BKS	A	2001/0051909 A1	12/13/2001	Keith	705	37	03/08/2001
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/BKS	P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03163; 9 pages.	01/04/2007
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BKS	K	WO 01/75752 A2	10/11/2001	PCT	G06F	17/60		
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
BKS	P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03168; 6 pages.	01/29/2007
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BKS/	K	WO 01/77946 A1	10/18/2001	PCT	G06F	17/60		
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/BKS/	P	European Patent Office Communication for Application No 05712564.3 - 1238; 3 pages.	01/08/2007
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/BKS/		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	5,950,177	09/07/1999	Lupien, et al.	705	37	07/15/1997
	B	6,012,046	01/04/2000	Lupien, et al.	705	37	10/16/1997
	C	6,098,051	08/01/2000	Lupien, et al.	705	37	04/26/1996
	D	2003/0097325 A1	05/22/2003	Friesen, et al.	705	37	04/09/1999
	E	2003/0177086 A1	09/18/2003	Gomber, et al.	705	37	12/02/2002
	F	2004/0236636 A1	11/25/2004	Lutnick, et al.	705	26	10/02/2003
/BKS/	G	2005/0108141 A1	05/19/2005	Farrell, et al.	705	37	11/14/2003

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/BKS/		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/BKS/	H	EP 0 388 162 A2 & A3	03/14/1990	EPO	G06F	15/30		
	I	GB 2 389 687 A	12/17/2003	UK	G06F	17/60		
	J	GB 2 411 492 A	08/31/2005	UK	G06F	17/60		
	K	WO 00/26834 A2 & A3	05/11/2000	PCT	G06F	17/60		
	L	WO 01/09757 A2	02/08/2001	PCT	G06F	17/00		
	M	WO 01/25996 A1	04/12/2001	PCT	G06F	17/60		
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/BKS/	O	WO 2005/083603 A1	09/09/2005	PCT	G06F	17/60		

/BKS/		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/BKS/	P	Parlour, Christine; <i>Price Dynamics in Limit Order Markets</i> ; Queen's University, Kingston, Ontario, Canada; 111 pages.	11/1995
	Q	Weber, Bruce; <i>Screen-Based Trading in Futures Markets: Recent Developments and Research Propositions</i> ; Abstract; ISBN 0 7695 0001 3; 1 page.	1999
	R	<i>Balance of Trade; Banking Technology</i> ; Vol. 20, No. 9; ISSN 0266-0865; pages 42-44.	11/2004
/BKS/	S	Patent Pending Application Serial No. 11/499,833 entitled <i>System and Method for Matching Trading Orders Based on Priority</i> by Matthew W. Claus, et al.; Atty Docket No. 069547.0267; 46 total pages.	filed 08/03/2006

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BKS/	A	2003/0216932 A1	11/20/2003	Foley	705	1	11/07/2002
	B	2004/0143538 A1	07/22/2004	Korhammer, et al.	705	37	01/21/2003
	C	2004/0215538 A1	10/28/2004	Smith, et al.	705	35	04/24/2003
	D	2005/0055304 A1	03/10/2005	Lutnick, et al.	705	37	07/13/2004
BKS/	E	2006/0149662 A1	07/06/2006	Nordlicht, et al.	705	37	03/07/2006
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BKS/	N	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US06/30638; 8 pages.</i>	04/20/2007
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